

**FEC
FORM 3X****REPORT OF RECEIPTS
AND DISBURSEMENTS**
For Other Than An Authorized Committee

Office Use Only

1. NAME OF COMMITTEE (in full) TYPE OR PRINT ▼ Example: If typing, type over the lines.

12FE4M5

Securities Industry and Financial Markets Association Political Action Committee

ADDRESS (number and street) ▼

1101 New York Avenue, NW

8th Floor

☐ Check if different than previously reported. (ACC)

Washington

DC

20005

2. FEC IDENTIFICATION NUMBER ▼

CITY ▲

STATE ▲

ZIP CODE ▲

C C00431312

3. IS THIS
REPORT☒NEW
(N)

OR

☐AMENDED
(A)

4. TYPE OF REPORT

(Choose One)

(a) Quarterly Reports:

☐ April 15
Quarterly Report (Q1)☐ July 15
Quarterly Report (Q2)☐ October 15
Quarterly Report (Q3)☐ January 31
Year-End Report (YE)☐ July 31 Mid-Year
Report (Non-election
Year Only) (MY)☐ Termination Report
(TER)(b) Monthly
Report
Due On:☐ Feb 20 (M2)☐ May 20 (M5)☐ Aug 20 (M8)☐ Nov 20 (M11)
(Non-Election
Year Only)☐ Mar 20 (M3)☐ Jun 20 (M6)☐ Sep 20 (M9)☐ Dec 20 (M12)
(Non-Election
Year Only)☐ Apr 20 (M4)☒ Jul 20 (M7)☐ Oct 20 (M10)☐ Jan 31 (YE)

(c) 12-Day

PRE-Election

Report for the:

☐ Primary (12P)☐ Convention (12C)☐ General (12G)☐ Special (12S)☐ Runoff (12R)

Election on

M M M /

D D D /

Y Y Y Y Y Y Y

in the
State of

(d) 30-Day

POST-Election

Report for the:

☐ General (30G)☐ Runoff (30R)☐ Special (30S)

Election on

M M M /

D D D /

Y Y Y Y Y Y Y

in the
State of

5. Covering Period

M M M /

D D D /

Y Y Y Y Y Y Y

through

M M M /

D D D /

Y Y Y Y Y Y Y

I certify that I have examined this Report and to the best of my knowledge and belief it is true, correct and complete.

Type or Print Name of Treasurer Mr. Kenneth E. Bentsen Jr.

Signature of Treasurer

Mr. Kenneth E. Bentsen Jr.

[Electronically Filed]

Date

M M M /

D D D /

Y Y Y Y Y Y Y

NOTE: Submission of false, erroneous, or incomplete information may subject the person signing this Report to the penalties of 2 U.S.C. §437g.

Office
Use
Only**FEC FORM 3X**
Rev. 12/2004

SUMMARY PAGE OF RECEIPTS AND DISBURSEMENTS

FEC Form 3X (Rev. 02/2003)

Page 2

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period: From: M M / D D / Y Y Y Y Y Y
06 / 01 / 2016 To: M M / D D / Y Y Y Y Y Y
06 / 30 / 2016

	COLUMN A This Period	COLUMN B Calendar Year-to-Date
6. (a) Cash on Hand January 1, Y Y Y Y Y Y 2016		95134.17
(b) Cash on Hand at Beginning of Reporting Period.....	67443.68	
(c) Total Receipts (from Line 19)	29551.03	203413.49
(d) Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B).....	96994.71	298547.66
7. Total Disbursements (from Line 31)	29166.43	230719.38
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d))	67828.28	67828.28
9. Debts and Obligations Owed TO the Committee (Itemize all on Schedule C and/or Schedule D)	0.00	
10. Debts and Obligations Owed BY the Committee (Itemize all on Schedule C and/or Schedule D)	0.00	

☒ This committee has qualified as a multicandidate committee. (see FEC FORM 1M)

For further information contact:

Federal Election Commission
999 E Street, NW
Washington, DC 20463

Toll Free 800-424-9530
Local 202-694-1100

DETAILED SUMMARY PAGE

of Receipts

FEC Form 3X (Rev. 06/2004)

Page 3

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period:

From:

 M M / D D / Y Y Y Y Y
 06 / 01 / 2016

To:

 M M / D D / Y Y Y Y Y
 06 / 30 / 2016
I. Receipts
COLUMN A
Total This Period
COLUMN B
Calendar Year-to-Date

11. Contributions (other than loans) From:

(a) Individuals/Persons Other
Than Political Committees

(i) Itemized (use Schedule A).....

14779.54

136935.35

(ii) Unitemized

105.06

3899.18

(iii) TOTAL (add

Lines 11(a)(i) and (ii)..... ►

14884.60

140834.53

(b) Political Party Committees

0.00

0.00

(c) Other Political Committees

(such as PACs).....

14500.00

61000.00

(d) Total Contributions (add Lines

11(a)(iii), (b), and (c)) (Carry

Totals to Line 33, page 5) ►

29384.60

201834.53

12. Transfers From Affiliated/Other

Party Committees.....

0.00

0.00

13. All Loans Received

0.00

0.00

14. Loan Repayments Received.....

0.00

0.00

15. Offsets To Operating Expenditures

(Refunds, Rebates, etc.)

(Carry Totals to Line 37, page 5).....

166.43

1578.96

16. Refunds of Contributions Made

to Federal Candidates and Other

Political Committees.....

0.00

0.00

17. Other Federal Receipts

(Dividends, Interest, etc.).....

0.00

0.00

18. Transfers from Non-Federal and Levin Funds

(a) Non-Federal Account

(from Schedule H3).....

0.00

0.00

(b) Levin Funds (from Schedule H5)

0.00

0.00

(c) Total Transfers (add 18(a) and 18(b))..

0.00

0.00

19. Total Receipts (add Lines 11(d),

12, 13, 14, 15, 16, 17, and 18(c)) ►

29551.03

203413.49

20. Total Federal Receipts

(subtract Line 18(c) from Line 19) ►

29551.03

203413.49

DETAILED SUMMARY PAGE

of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 4

II. Disbursements	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
21. Operating Expenditures:		
(a) Allocated Federal/Non-Federal Activity (from Schedule H4)		
(i) Federal Share	0.00	0.00
(ii) Non-Federal Share.....	0.00	0.00
(b) Other Federal Operating Expenditures	166.43	1719.38
(c) Total Operating Expenditures (add 21(a)(i), (a)(ii), and (b))	166.43	1719.38
22. Transfers to Affiliated/Other Party Committees.....	0.00	0.00
23. Contributions to Federal Candidates/Committees and Other Political Committees.....	29000.00	229000.00
24. Independent Expenditures (use Schedule E)	0.00	0.00
25. Coordinated Party Expenditures (2 U.S.C. §441a(d)) (use Schedule F).....	0.00	0.00
26. Loan Repayments Made.....	0.00	0.00
27. Loans Made.....	0.00	0.00
28. Refunds of Contributions To:		
(a) Individuals/Persons Other Than Political Committees	0.00	0.00
(b) Political Party Committees	0.00	0.00
(c) Other Political Committees (such as PACs).....	0.00	0.00
(d) Total Contribution Refunds (add Lines 28(a), (b), and (c)).....	0.00	0.00
29. Other Disbursements	0.00	0.00
30. Federal Election Activity (2 U.S.C. §431(20))		
(a) Allocated Federal Election Activity (from Schedule H6)		
(i) Federal Share	0.00	0.00
(ii) "Levin" Share.....	0.00	0.00
(b) Federal Election Activity Paid Entirely With Federal Funds	0.00	0.00
(c) Total Federal Election Activity (add .. Lines 30(a)(i), 30(a)(ii) and 30(b))....	0.00	0.00
31. Total Disbursements (add Lines 21(c), 22, 23, 24, 25, 26, 27, 28(d), 29 and 30(c)) ..	29166.43	230719.38
32. Total Federal Disbursements (subtract Line 21(a)(ii) and Line 30(a)(ii) from Line 31).....	29166.43	230719.38

DETAILED SUMMARY PAGE
of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 5

III. Net Contributions/Operating Expenditures	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
33. Total Contributions (other than loans) (from Line 11(d), page 3)	29384.60	201834.53
34. Total Contribution Refunds (from Line 28(d))	0.00	0.00
35. Net Contributions (other than loans) (subtract Line 34 from Line 33)	29384.60	201834.53
36. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b)) ►	166.43	1719.38
37. Offsets to Operating Expenditures (from Line 15, page 3).....	166.43	1578.96
38. Net Operating Expenditures (subtract Line 37 from Line 36) ►	0.00	140.42

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 6 OF 30

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Kenneth E. Bentsen Jr.

Mailing Address 1101 New York Ave NW
8th Floor

City State Zip Code
Washington DC 20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

President & CEO

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2500.55

Date of Receipt

M M / D D / Y Y Y Y Y Y
06 / 08 / 2016

Transaction ID : 20160602165257-1000

Amount of Each Receipt this Period

192.35

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Kenneth E. Bentsen Jr.

Mailing Address 1101 New York Ave NW
8th Floor

City State Zip Code
Washington DC 20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

President & CEO

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2500.55

Date of Receipt

M M / D D / Y Y Y Y Y Y
06 / 22 / 2016

Transaction ID : 20160620113857-1000

Amount of Each Receipt this Period

192.35

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Lisa J. Bleier

Mailing Address 1101 New York Ave NW
8th Floor

City State Zip Code
Washington DC 20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Fed Gov't Rel & AGC

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

249.99

Date of Receipt

M M / D D / Y Y Y Y Y Y
06 / 08 / 2016

Transaction ID : 20160602165257-1001

Amount of Each Receipt this Period

19.23

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

403.93

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 7 OF 30

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Lisa J. Bleier

Mailing Address 1101 New York Ave NW
8th Floor

City State Zip Code
Washington DC 20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Fed Gov't Rel & AGC

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

249.99

Date of Receipt

06 / 22 / 2016

Transaction ID : 20160620113857-1001

Amount of Each Receipt this Period

19.23

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Ananias Blocker

Mailing Address 1101 New York Ave NW
8th Floor

City State Zip Code
Washington DC 20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Exec VP, Pub Pol & Advoc

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

3900.00

Date of Receipt

06 / 08 / 2016

Transaction ID : 20160602165257-1002

Amount of Each Receipt this Period

300.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Ananias Blocker

Mailing Address 1101 New York Ave NW
8th Floor

City State Zip Code
Washington DC 20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Exec VP, Pub Pol & Advoc

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

3900.00

Date of Receipt

06 / 22 / 2016

Transaction ID : 20160620113857-1002

Amount of Each Receipt this Period

300.00

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

619.23

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 8 OF 30

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Kyle L. Brandon

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Dir of Research

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1249.95

Date of Receipt

M M / D D / Y Y Y Y Y Y
06 / 08 / 2016

Transaction ID : 20160602165257-1003

Amount of Each Receipt this Period

96.15

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Kyle L. Brandon

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Dir of Research

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1249.95

Date of Receipt

M M / D D / Y Y Y Y Y Y
06 / 22 / 2016

Transaction ID : 20160620113857-1003

Amount of Each Receipt this Period

96.15

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Kimberly H. Chamberlain

Mailing Address 1101 New York Ave NW
8th Floor

City State Zip Code
Washington DC 20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Associate Gen Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.50

Date of Receipt

M M / D D / Y Y Y Y Y Y
06 / 08 / 2016

Transaction ID : 20160602165257-1004

Amount of Each Receipt this Period

38.50

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

230.80

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTSUse separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER: PAGE 9 OF 30
(check only one)

<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16
<input type="checkbox"/> 17			

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Kimberly H. ChamberlainMailing Address 1101 New York Ave NW
8th Floor

City	State	Zip Code
Washington	DC	20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Associate Gen Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.50

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
06	/	22	/	2016

Transaction ID : 20160620113857-1004

Amount of Each Receipt this Period

38.50

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Cheryl L. CrispenMailing Address 1101 New York Ave NW
8th Floor

City	State	Zip Code
Washington	DC	20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

EVP, Communication & Mktg

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1249.95

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
06	/	08	/	2016

Transaction ID : 20160620165257-1006

Amount of Each Receipt this Period

96.15

☐ Memo Item

Full Name (Last, First, Middle Initial)

c. Cheryl L. CrispenMailing Address 1101 New York Ave NW
8th Floor

City	State	Zip Code
Washington	DC	20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

EVP, Communication & Mktg

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1249.95

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
06	/	22	/	2016

Transaction ID : 20160620113857-1006

Amount of Each Receipt this Period

96.15

☐ Memo Item**SUBTOTAL** of Receipts This Page (optional)..... ►

230.80

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTSUse separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 10 OF 30

<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16
<input type="checkbox"/> 17			

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Bradley G. EdgellMailing Address 1101 New York Ave NW
8th Floor

City	State	Zip Code
Washington	DC	20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Fed Gov't Relations

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.50

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
06		08		2016

Transaction ID : 20160602165257-1007

Amount of Each Receipt this Period

38.50

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Bradley G. EdgellMailing Address 1101 New York Ave NW
8th Floor

City	State	Zip Code
Washington	DC	20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Fed Gov't Relations

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.50

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
06		22		2016

Transaction ID : 20160620113857-1007

Amount of Each Receipt this Period

38.50

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Tracy H. EichlerMailing Address 120 Broadway
35th Floor

City	State	Zip Code
New York	NY	10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Private Client Group

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

492.49

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
06		08		2016

Transaction ID : 20160602165257-1008

Amount of Each Receipt this Period

43.48

☐ Memo Item**SUBTOTAL** of Receipts This Page (optional)..... ►

120.48

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTS

 Use separate schedule(s)
 for each category of the
 Detailed Summary Page

FOR LINE NUMBER: PAGE 11 OF 30

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Tracy H. Eichler
 Mailing Address 120 Broadway
 35th Floor

 City State Zip Code
 New York NY 10271

 FEC ID number of contributing
 federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Private Client Group

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

492.49

Date of Receipt

 M M / D D / Y Y Y Y Y Y
 06 22 2016
Transaction ID : 20160620113857-1008

Amount of Each Receipt this Period

43.48

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Lisa Fues
 Mailing Address 1101 New York Ave NW
 8th Floor

 City State Zip Code
 Washington DC 20005

 FEC ID number of contributing
 federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, CEO's Office

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

249.99

Date of Receipt

 M M / D D / Y Y Y Y Y Y
 06 08 2016
Transaction ID : 20160602165257-1010

Amount of Each Receipt this Period

19.23

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Lisa Fues
 Mailing Address 1101 New York Ave NW
 8th Floor

 City State Zip Code
 Washington DC 20005

 FEC ID number of contributing
 federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, CEO's Office

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

249.99

Date of Receipt

 M M / D D / Y Y Y Y Y Y
 06 22 2016
Transaction ID : 20160620113857-1010

Amount of Each Receipt this Period

19.23

☐ Memo Item
SUBTOTAL of Receipts This Page (optional)..... ►

81.94

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 12 OF 30

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Marin Gibson

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Associate Gen Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1249.95

Date of Receipt

M M / D D / Y Y Y Y Y Y
06 / 08 / 2016

Transaction ID : 20160602165257-1011

Amount of Each Receipt this Period

96.15

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Marin Gibson

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Associate Gen Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1249.95

Date of Receipt

M M / D D / Y Y Y Y Y Y
06 / 22 / 2016

Transaction ID : 20160620113857-1011

Amount of Each Receipt this Period

96.15

☐ Memo Item

Full Name (Last, First, Middle Initial)

c. Christopher B. Killian

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Head of Securitization

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.50

Date of Receipt

M M / D D / Y Y Y Y Y Y
06 / 08 / 2016

Transaction ID : 20160602165257-1013

Amount of Each Receipt this Period

38.50

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

230.80

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 13 OF 30

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Christopher B. Killian

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Head of Securitization

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.50

Date of Receipt

M M / D D / Y Y Y Y Y Y
06 / 22 / 2016

Transaction ID : 20160620113857-1013

Amount of Each Receipt this Period

38.50

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Andrew M. Kistler

Mailing Address 417 Washington Way

City State Zip Code
Pittsburgh PA 15243-1024

FEC ID number of contributing
federal political committee.

C

Name of Employer

Hefren-Tillotson Inc.

Occupation

Honorary Chairman

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
06 / 04 / 2016

Transaction ID : EA1314D5B6D34805B913

Amount of Each Receipt this Period

1000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. David B. Krasner

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Chief Fin/Admin Officer

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2500.55

Date of Receipt

M M / D D / Y Y Y Y Y Y
06 / 08 / 2016

Transaction ID : 20160602165257-1014

Amount of Each Receipt this Period

192.35

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

1230.85

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTSUse separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 14 OF 30

<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16
<input type="checkbox"/> 17			

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. David B. KrasnerMailing Address 120 Broadway
35th FloorCity State Zip Code
New York NY 10271FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Chief Fin/Admin Officer

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2500.55

Date of Receipt

M M / D D / Y Y Y Y Y Y
06 / 22 / 2016**Transaction ID : 20160620113857-1014**

Amount of Each Receipt this Period

192.35

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Nancy J. LanciaMailing Address 120 Broadway
35th FloorCity State Zip Code
New York NY 10271FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, State Gov Relations

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.50

Date of Receipt

M M / D D / Y Y Y Y Y Y
06 / 08 / 2016**Transaction ID : 20160602165257-1015**

Amount of Each Receipt this Period

38.50

☐ Memo Item

Full Name (Last, First, Middle Initial)

c. Nancy J. LanciaMailing Address 120 Broadway
35th FloorCity State Zip Code
New York NY 10271FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, State Gov Relations

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.50

Date of Receipt

M M / D D / Y Y Y Y Y Y
06 / 22 / 2016**Transaction ID : 20160620113857-1015**

Amount of Each Receipt this Period

38.50

☐ Memo Item**SUBTOTAL** of Receipts This Page (optional)..... ►

269.35

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

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☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Theodore Lazo

Mailing Address 1101 New York Ave NW
8th Floor

City State Zip Code
Washington DC 20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Associate Gen Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.50

Date of Receipt

06 / 08 / 2016

Transaction ID : 20160602165257-1016

Amount of Each Receipt this Period

38.50

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Theodore Lazo

Mailing Address 1101 New York Ave NW
8th Floor

City State Zip Code
Washington DC 20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Associate Gen Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.50

Date of Receipt

06 / 22 / 2016

Transaction ID : 20160620113857-1016

Amount of Each Receipt this Period

38.50

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Laura A. Martin

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, AGC AMG

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.50

Date of Receipt

06 / 08 / 2016

Transaction ID : 20160602165257-1017

Amount of Each Receipt this Period

38.50

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

115.50

SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTS

 Use separate schedule(s)
 for each category of the
 Detailed Summary Page

FOR LINE NUMBER: PAGE 16 OF 30

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Laura A. Martin
 Mailing Address 120 Broadway
 35th Floor

 City State Zip Code
 New York NY 10271

 FEC ID number of contributing
 federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, AGC AMG

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.50

Date of Receipt

 M M M / D D D / Y Y Y Y Y Y
 06 22 2016
Transaction ID : 20160620113857-1017

Amount of Each Receipt this Period

38.50

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Carter K. McDowell
 Mailing Address 1101 New York Ave NW
 8th Floor

 City State Zip Code
 Washington DC 20005

 FEC ID number of contributing
 federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Associate Gen Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

3749.98

Date of Receipt

 M M M / D D D / Y Y Y Y Y Y
 06 08 2016
Transaction ID : 20160602165257-1018

Amount of Each Receipt this Period

288.46

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Carter K. McDowell
 Mailing Address 1101 New York Ave NW
 8th Floor

 City State Zip Code
 Washington DC 20005

 FEC ID number of contributing
 federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Associate Gen Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

3749.98

Date of Receipt

 M M M / D D D / Y Y Y Y Y Y
 06 22 2016
Transaction ID : 20160620113857-1018

Amount of Each Receipt this Period

288.46

☐ Memo Item
SUBTOTAL of Receipts This Page (optional)..... ►

615.42

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

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☒ 11a ☐ 11b ☐ 11c ☐ 12
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Craig R McRoberts

Mailing Address 308 7th Ave

City

Pittsburgh

State

PA

Zip Code

15222-3909

FEC ID number of contributing
federal political committee.

C

Name of Employer

Hefren-Tillotson, Inc.

Occupation

Executive Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

06 / 06 / 2016

Transaction ID : 3BBC56ADA89340D19151

Amount of Each Receipt this Period

500.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. John Meegan

Mailing Address 308 7th Ave

City

Pittsburgh

State

PA

Zip Code

15222-3909

FEC ID number of contributing
federal political committee.

C

Name of Employer

Hefren-Tillotson, Inc.

Occupation

COO

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

06 / 09 / 2016

Transaction ID : 4F4ABD458FB04D3DA85F

Amount of Each Receipt this Period

1000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. James G Meredith

Mailing Address 308 7th Ave

City

Pittsburgh

State

PA

Zip Code

15222-3909

FEC ID number of contributing
federal political committee.

C

Name of Employer

Hefren-Tillotson, Inc.

Occupation

Executive Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2500.00

Date of Receipt

06 / 02 / 2016

Transaction ID : 6022DE4A69F04AA495D0

Amount of Each Receipt this Period

2500.00

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

4000.00

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 18 OF 30

☒ 11a ☐ 11b ☐ 11c ☐ 12
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Steffen Parratt

Mailing Address 11 Sarah Dr

City

Princeton Junction

State

NJ

Zip Code

08550-1244

FEC ID number of contributing
federal political committee.

C

Name of Employer

KCG Holdings Inc.

Occupation

CFO

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

06 / 20 / 2016

Transaction ID : 75C1C9CFB80C4AB3A0BC

Amount of Each Receipt this Period

500.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Thomas F. Price

Mailing Address 120 Broadway
35th Floor

City

New York

State

NY

Zip Code

10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Tech & Operations

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

550.30

Date of Receipt

06 / 08 / 2016

Transaction ID : 20160602165257-1020

Amount of Each Receipt this Period

43.48

☐ Memo Item

Full Name (Last, First, Middle Initial)

c. Thomas F. Price

Mailing Address 120 Broadway
35th Floor

City

New York

State

NY

Zip Code

10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Tech & Operations

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

550.30

Date of Receipt

06 / 22 / 2016

Transaction ID : 20160620113857-1020

Amount of Each Receipt this Period

43.48

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

586.96

SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTSUse separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 19 OF 30

<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16
<input type="checkbox"/> 17			

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Suzanne ShankMailing Address 660 Woodward Ave
Ste 2450City State Zip Code
Detroit MI 48226-3528FEC ID number of contributing
federal political committee.

C

Name of Employer

Siebert Brandford Shank

Occupation

CEO

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
06 / 15 / 2016**Transaction ID : 6EC6F549C9DF4BB79109**

Amount of Each Receipt this Period

5000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Thomas P. TierneyMailing Address 120 Broadway
35th FloorCity State Zip Code
New York NY 10271FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Member Engagement

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

272.58

Date of Receipt

M M / D D / Y Y Y Y Y Y
06 / 08 / 2016**Transaction ID : 20160602165257-1022**

Amount of Each Receipt this Period

21.74

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Thomas P. TierneyMailing Address 120 Broadway
35th FloorCity State Zip Code
New York NY 10271FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

MD, Member Engagement

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

272.58

Date of Receipt

M M / D D / Y Y Y Y Y Y
06 / 22 / 2016**Transaction ID : 20160620113857-1022**

Amount of Each Receipt this Period

21.74

☐ Memo Item**SUBTOTAL** of Receipts This Page (optional)..... ►

5043.48

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 20 OF 30
 (check only one)
☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Gregory Tusar

Mailing Address 545 Washington Blvd

City

Jersey City

State

NJ

Zip Code

07310-1607

FEC ID number of contributing
federal political committee.

C

Name of Employer

KCG Holdings, Inc.

Occupation

Head of Global Execution Services and

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

06 / 20 / 2016

Transaction ID : 8F45F9704FCA4E24BD24

Amount of Each Receipt this Period

1000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B.

Mailing Address

City

State

Zip Code

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

Amount of Each Receipt this Period

☐ Memo Item

Full Name (Last, First, Middle Initial)

C.

Mailing Address

City

State

Zip Code

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

Amount of Each Receipt this Period

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

1000.00

14779.54

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 21 OF 30

☐ 11a ☐ 11b ☒ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Lpl Financial Llc Political Action Committee (LPL PAC)

Mailing Address 75 State Street
24th Floor

City State Zip Code
Boston MA 02109

FEC ID number of contributing
federal political committee.

C C00486217

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

06 / **22** / **2016**

Transaction ID : 8A7E7903C6DC4FBA9D7A

Amount of Each Receipt this Period

5000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Nomura Holding America Inc, Political Action Committee (NOMURAPAC)

Mailing Address 1101 Pennsylvania Avenue, NW
Suite 515

City State Zip Code
Washington DC 20004

FEC ID number of contributing
federal political committee.

C C00491951

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2500.00

Date of Receipt

06 / **20** / **2016**

Transaction ID : 034B2B439C774FCB9B29

Amount of Each Receipt this Period

2500.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Principal Life Insurance Company Political Action Committee

Mailing Address 711 High Street
Government Relations

City State Zip Code
Des Moines IA 50392-0002

FEC ID number of contributing
federal political committee.

C C00128918

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2000.00

Date of Receipt

06 / **21** / **2016**

Transaction ID : A7E149D22BE044E3B3A8

Amount of Each Receipt this Period

2000.00

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

9500.00

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 22 OF 30

(check only one)

☐ 11a ☐ 11b ☒ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Td Ameritrade Holding Corporation PAC

Mailing Address 200 S. 108th Avenue

City State Zip Code
 Omaha NE 68154

FEC ID number of contributing
federal political committee.

C C00396887

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

06 / 27 / 2016

Transaction ID : 2C4FE707723C485288DA

Amount of Each Receipt this Period

5000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B.

Mailing Address

City State Zip Code

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

Amount of Each Receipt this Period

☐ Memo Item

Full Name (Last, First, Middle Initial)

C.

Mailing Address

City State Zip Code

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

Amount of Each Receipt this Period

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

5000.00

14500.00

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
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☐ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☒ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. SIFMA

Mailing Address 1101 New York Avenue, NW
8th Floor

City State Zip Code
Washington DC 20005

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1578.96

Date of Receipt

M M / D D / Y Y Y Y Y Y
06 / 28 / 2016

Transaction ID : AF951B411725487F9FCC

Amount of Each Receipt this Period

166.43

☐ Memo Item

Reimbursement of Bank Fees

Full Name (Last, First, Middle Initial)

B.

Mailing Address

City State Zip Code

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

M M / D D / Y Y Y Y Y Y

Amount of Each Receipt this Period

☐ Memo Item

Full Name (Last, First, Middle Initial)

C.

Mailing Address

City State Zip Code

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

M M / D D / Y Y Y Y Y Y

Amount of Each Receipt this Period

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

166.43

166.43

<input checked="" type="checkbox"/> 21b	<input type="checkbox"/> 22	<input type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

Securities Industry and Financial Markets Association Political Action Committee

157.74

 Memo Item

0.74

Memo Item

MM / DD / YYYY

7.95

 Memo Item

166.43

166.43

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 25 OF 30

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Brave PAC

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
06		06		2016

Mailing Address 499 S. Capitol St, SW
Suite 422

City Washington State DC Zip Code 20003

Purpose of Disbursement
2016 Contribution

011

Transaction ID : DAE3457831FE4466014

Amount of Each Disbursement this Period

1000.00

☐ Memo Item

Candidate Name

Brave PAC

Office Sought:

☐ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☐ General
☒ Other (specify) ▼

State:

District:

Contribution

Full Name (Last, First, Middle Initial)

B. David Scott for Congress

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
06		03		2016

Mailing Address PO Box 960821

City Riverdale State GA Zip Code 30296

Purpose of Disbursement
2016 General

011

Transaction ID : D3ABDD2E2312C08F13A

Amount of Each Disbursement this Period

1500.00

☐ Memo Item

Candidate Name

David Albert Scott

Office Sought:

☒ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☒ General
☐ Other (specify) ▼

State: GA

District: 13

Full Name (Last, First, Middle Initial)

C. Emmer for Congress

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
06		21		2016

Mailing Address PO Box 998

City Anoka State MN Zip Code 55303

Purpose of Disbursement
2016 Primary

011

Transaction ID : 3DFDD6736188FAE9FF2

Amount of Each Disbursement this Period

1000.00

☐ Memo Item

Candidate Name

Thomas Earl Emmer Jr.

Office Sought:

☒ House
☐ Senate
☐ President

Disbursement For: 2016

☒ Primary ☐ General
☐ Other (specify) ▼

State: MN

District: 06

SUBTOTAL of Disbursements This Page (optional)..... ►**TOTAL** This Period (last page this line number only)..... ►

3500.00

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

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<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Fearless PAC

Mailing Address PO Box 37

City	State	Zip Code
Boulder	CO	80306

Purpose of Disbursement
2016 Contribution

Candidate Name

Fearless PACOffice Sought: ☐ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☐ General
☒ Other (specify) ▼

State: District:

Contribution

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
06		01		2016

Transaction ID : A726BB75348C0803D2D

Amount of Each Disbursement this Period

1000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Filemon Vela for CongressMailing Address 10715 Gulfdale St
Ste 235

City	State	Zip Code
San Antonio	TX	78216

Purpose of Disbursement
2016 General

Candidate Name

Filemon Bartolome Vela Jr.Office Sought: ☒ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☒ General
☐ Other (specify) ▼

State: TX District: 34

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
06		03		2016

Transaction ID : 467281CB9EEFF40C3C9

Amount of Each Disbursement this Period

1000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Freedom FundMailing Address 701 8th Street, NW
Suite 500

City	State	Zip Code
Washington	DC	20001

Purpose of Disbursement
2016 Contribution

Candidate Name

Freedom FundOffice Sought: ☐ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☐ General
☒ Other (specify) ▼

State: District:

Contribution

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
06		06		2016

Transaction ID : 6BD9A050ED4885C81A8

Amount of Each Disbursement this Period

2500.00

☐ Memo Item**SUBTOTAL** of Disbursements This Page (optional)..... ►**TOTAL** This Period (last page this line number only)..... ►

4500.00

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**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 27 OF 30

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Friends of Pat Toomey

Mailing Address 228 S. Washington St., Suite 115

City	State	Zip Code
Alexandria	VA	22314

Purpose of Disbursement
2016 General

011

Candidate Name

Patrick Joseph ToomeyCategory/
Type

Office Sought:	<input type="checkbox"/> House
	<input checked="" type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2016
<input type="checkbox"/> Primary <input checked="" type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: PA District:

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
06		27		2016

Transaction ID : 97E5E33EEC1AA1009A4

Amount of Each Disbursement this Period

1000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Lucas for Congress

Mailing Address PO Box 1726

City	State	Zip Code
Oklahoma City	OK	73101-1726

Purpose of Disbursement
2016 Primary

011

Candidate Name

Frank Dean LucasCategory/
Type

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2016
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: OK District: 03

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
06		10		2016

Transaction ID : 39C10660F11D227C436

Amount of Each Disbursement this Period

3000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Luke Messer for Congress

Mailing Address PO Box 917

City	State	Zip Code
Shelbyville	IN	46176

Purpose of Disbursement
2016 General

011

Candidate Name

Allan Lucas MesserCategory/
Type

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2016
<input type="checkbox"/> Primary <input checked="" type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: IN District: 06

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
06		27		2016

Transaction ID : 1D7F1B4CB6206DF813E

Amount of Each Disbursement this Period

2000.00

☐ Memo Item**SUBTOTAL** of Disbursements This Page (optional).....▶**TOTAL** This Period (last page this line number only).....▶

6000.00

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**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 28 OF 30

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. McHenry for Congress

Mailing Address PO Box 2165

City Gastonia	State NC	Zip Code 28053-2165
------------------	-------------	------------------------

Purpose of Disbursement
2016 General

Candidate Name

Patrick Timothy McHenry

Office Sought:	<input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President	Disbursement For: 2016 <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼
----------------	--	--

State: NC District: 10

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
06		20		2016

Transaction ID : 0D2195CE24D04796412

Amount of Each Disbursement this Period

2000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Mike Bost for Congress Committee

Mailing Address PO Box 1212

City Murphysboro	State IL	Zip Code 62966
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Purpose of Disbursement
2016 General

Candidate Name

Michael J. Bost

Office Sought:	<input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President	Disbursement For: 2016 <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼
----------------	--	--

State: IL District: 12

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
06		03		2016

Transaction ID : D124DBCE0F368F65AB2

Amount of Each Disbursement this Period

2000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Mike Crapo for US Senate

Mailing Address PO Box 1948

City Boise	State ID	Zip Code 83701
---------------	-------------	-------------------

Purpose of Disbursement
2016 General

Candidate Name

Michael Dean Crapo

Office Sought:	<input type="checkbox"/> House <input checked="" type="checkbox"/> Senate <input type="checkbox"/> President	Disbursement For: 2016 <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼
----------------	--	--

State: ID District:

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
06		03		2016

Transaction ID : C7C09FFAD5C37F67222

Amount of Each Disbursement this Period

2500.00

☐ Memo Item**SUBTOTAL** of Disbursements This Page (optional).....▶**TOTAL** This Period (last page this line number only).....▶

6500.00

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SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTSUse separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 29 OF 30

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Randy Hultgren for Congress

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
06	/	20	/	2016

Mailing Address PO Box 717

City	State	Zip Code
St Charles	IL	60174-0717

Transaction ID : C59697E84347BC90218Purpose of Disbursement
2016 General

011

Amount of Each Disbursement this Period

Candidate Name

Randall Mark HultgrenCategory/
Type

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2016
<input type="checkbox"/> Primary <input checked="" type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: IL District: 14

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Roger Williams for U S Congress Committee

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
06	/	03	/	2016

Mailing Address PO Box 91061

City	State	Zip Code
Austin	TX	78709-1061

Transaction ID : BFA4BEA12C764F07B56Purpose of Disbursement
2016 General

011

Amount of Each Disbursement this Period

Candidate Name

Roger WilliamsCategory/
Type

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2016
<input type="checkbox"/> Primary <input checked="" type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: TX District: 25

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Stivers for Congress

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
06	/	03	/	2016

Mailing Address 4679 Winterset Dr

City	State	Zip Code
Columbus	OH	43220-8113

Transaction ID : CE6C0FDD12C62E69E4BPurpose of Disbursement
2016 General

011

Amount of Each Disbursement this Period

Candidate Name

Steve StiversCategory/
Type

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2016
<input type="checkbox"/> Primary <input checked="" type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: OH District: 15

☐ Memo Item**SUBTOTAL** of Disbursements This Page (optional)..... ►**TOTAL** This Period (last page this line number only)..... ►

5500.00

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 30 OF 30

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Tim Scott for Senate

Mailing Address 1405 Ashley River Rd

City	State	Zip Code
Charleston	SC	29407-5305

Purpose of Disbursement
2016 General

011

Candidate Name

Timothy Eugene ScottCategory/
TypeOffice Sought: ☐ House
☒ Senate
☐ PresidentDisbursement For: 2016
☐ Primary ☒ General
☐ Other (specify) ▼

State: SC District:

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
06		03		2016

Transaction ID : BEC025120EDDCBCE582

Amount of Each Disbursement this Period

500.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Tim Scott for Senate

Mailing Address 1405 Ashley River Rd

City	State	Zip Code
Charleston	SC	29407-5305

Purpose of Disbursement
2016 Primary

011

Candidate Name

Timothy Eugene ScottCategory/
TypeOffice Sought: ☐ House
☒ Senate
☐ PresidentDisbursement For: 2016
☒ Primary ☐ General
☐ Other (specify) ▼

State: SC District:

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
06		03		2016

Transaction ID : 5CB17B6E53D1F31099D

Amount of Each Disbursement this Period

2000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Yoder for Congress, Inc

Mailing Address PO Box 26742

City	State	Zip Code
Overland Park	KS	66225-6742

Purpose of Disbursement
2016 General

011

Candidate Name

Kevin Wayne YoderCategory/
TypeOffice Sought: ☒ House
☐ Senate
☐ PresidentDisbursement For: 2016
☐ Primary ☒ General
☐ Other (specify) ▼

State: KS District: 03

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
06		27		2016

Transaction ID : 3B589464A6AF9CDBBBD

Amount of Each Disbursement this Period

500.00

☐ Memo Item**SUBTOTAL** of Disbursements This Page (optional)..... ►**TOTAL** This Period (last page this line number only)..... ►

3000.00

29000.00
